



DEPARTMENT OF THE NAVY
SPACE AND NAVAL WARFARE SYSTEMS COMMAND
WASHINGTON DC 20363-5200

SPAWARINST 1571.1A
SPAWAR 09R
6 August 1993

SPAWAR INSTRUCTION 1571.1A

From: Commander, Space and Naval Warfare Systems Command

Subj: TRAINING FOR NAVAL RESERVE PERSONNEL

Ref: (a) SPAWARINST 1611.3C
(b) SPAWARINST 1616.1C
(c) 5 C.F.R. Part 2635, Standards of Conduct for employees of the Executive Branch
(d) SECNAVINST 5370.2J, modified by SECNAV 020001Z Feb 93

Encl: (1) Training Concepts
(2) Administrative Procedures
(3) Executive Branch Personnel Confidential Financial Disclosure Report (SF 450)

1. Purpose. To disseminate guidance and procedures for requesting, planning, and performing training for selected reserve (SELRES) personnel ordered to the Space and Naval Warfare Systems Command (SPAWARSYSCOM) headquarters and its activities. This instruction also outlines procedures for the avoidance of conflicts of interest in assignment of duties to reserve personnel.

2. Cancellation. This instruction cancels and supersedes SPAWARINST 1571.1 of 13 May 1987.

3. Background. Title 10, United States Code, directs that training of the Naval Reserve be integrated within the regular naval establishment so completely that all activities of the Department of the Navy shall perform assigned training tasks and functions in connection with the Naval Reserve in the same manner, to the extent practicable, as the regular Navy. The mission of the Naval Reserve is to provide qualified personnel to be available in time of war or national emergency, and at other times as the national security may require, to meet the requirements of the Navy in excess of those of the regular component. The Chief of Naval Operations requires that training programs be developed and implemented to make adequate provision for personnel to fill predetermined mobilization requirements. The purpose of annual training (AT) is to better prepare reserve officers and enlisted personnel to fill these mobilization requirements.

4. Application. This instruction applies to SPAWAR headquarters and its activities and to SELRES personnel applying for training within these commands.

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5. Objective. The objective is, through the effective use of AT, to ensure the fullest possible application of each reservist's present capabilities in his/her current mobilization assignment, and the development of potential talents for future mobilization assignments of greater scope and responsibility.

6. Action. Generally, supervised work in the mobilization billet on a current command project will provide both motivation and opportunity for the individual to contribute in a meaningful manner. It is emphasized that the activity to which SELRES personnel report for training duty accepts the responsibility for making their time useful and productive. Therefore, it is important that, at the time the individual reports aboard, the function to be performed be predetermined and the reservist put to work without delay. Officer fitness reports and enlisted performance information memoranda will be prepared per references (a) and (b) for all SELRES performing AT in SPAWARSYSCOM headquarters. Addressees will employ the guidance of enclosure (1) and follow the administrative procedures of enclosure (2) of this instruction in the development of the planned utilization and training of SELRES during AT. References (c) and (d) provide guidance on avoidance of situations which could result in conflicts of interest in the assignment of duties to reserve personnel. Enclosure (3) shall be reviewed prior to the assignment of duties to SELRES.

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Rear Admiral, U.S. Navy

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TRAINING CONCEPTS

1. General Considerations. While training for mobilization is the primary mission of the Naval Reserve, opportunities for assignment to duties providing both contributory support and mobilization billet training should be exploited whenever possible. With proper planning and execution by reserve and active SPAWAR personnel, the naval reservist becomes a significant contributor during peacetime and an invaluable asset upon mobilization.

2. Assignment. The assignment for training duty should be one that will provide training which improves the naval reservist's ability and potential for mission contribution upon mobilization. Training should contribute to qualification in his/her current mobilization assignment. Per references (c) and (d), assignments must avoid situations which could result in a possible conflict of interest with official duties or even create the appearance to a reasonable person with knowledge of the relevant facts of a violation of the law or ethical standards. There must be no likelihood that the reservist, in the course of training duty, will have access to information that might be used to benefit the reservist personally, or his/her employer, e.g., by giving a private employer an unfair advantage over other civilian competitors. Reservists will be reminded that they shall disclose to superiors and assignment personnel information necessary to ensure that no conflict exists between their duty assignment and their private interests. Assignment of reserve personnel to AT in government offices or codes at activities or commands where they are employed as civilians is prohibited.

3. Review of SF 450 Prior to Drill Periods or AT and Responsibilities of Reservists and Personnel Assigning Reservists to Avoid Conflict of Interest. In order for reservists and personnel who assign reservists for training to comply with the applicable provisions of references (c) and (d), all reservists who drill or perform AT at SPAWAR headquarters or field activities shall file or update a SF 450 (Confidential Financial Disclosure Report) in sufficient time to have the form reviewed by the activity/directorate reserve coordinator where the reservist is assigned and by a SPAWAR ethics counselor prior to the first day of the reservist's drill period or tour of duty. The requirement that the reservist file a SF 450 prior to drill or AT does not relieve SPAWAR personnel of the responsibility to screen for possible conflicts of interest prior to assigning

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duties to SELRES personnel. The following provision of reference (c) applies specifically to reservists and personnel who assign reservists for training:

SECNAVINST 5370.2J, paragraph 404, ref (d) in part:

Assignment of Reservists for Training. DON personnel who assign reservists for training shall not assign them to duties in which they will obtain information that they or their private employers may use to gain unfair advantage over competitors. Reservists must disclose to superiors and assignment personnel information necessary to ensure that no conflict exists between their duty assignment and their private interests.

4. Tasks to be Accomplished. The assigned tasks to be accomplished by the reservist should be presented in their operational and organizational context and guidance must be provided as to applicable methods that are appropriate to the task and the competence of the individual. Tasks should be of such scope that they can normally be completed and reviewed before detachment. If the assigned task requires preparation of a final or formal report during the period of AT, the schedule should make allowance for preparation time.

5. Officer Fitness Report/Enlisted Performance Information Memoranda (PIM) Preparation. The importance of an officer fitness report/PIM for personnel performing AT cannot be over-emphasized. It should be prepared with extreme care and should reflect an accurate account of the individual's capabilities, the qualifications attained, and the potential for assignment and promotion. Guidance for preparation of fitness reports and PIMs is provided by references (a) and (b). As a minimum, a rough draft officer fitness report/PIM should be prepared by the day of detachment with the final submission not later than 15 days after detachment.

Enclosure (1)

ADMINISTRATIVE PROCEDURES

1. Administration and Coordination

a. In order to ensure the most effective and efficient utilization of SELRES personnel and provide the needed continuity of training, each SPAWAR Program Directorate and the Commander/Commanding Officer of a SPAWAR activity will designate a directorate/activity reserve coordinator. SPAWAR 09R is the Reserve Program Coordinator for SPAWARSYSCOM. The directorate/activity reserve coordinator will be designated in writing and will be the single point of contact for reserve matters.

b. The SPAWAR Reserve Program Coordinator (SPAWAR 09R) shall:

(1) Provide administrative support to SELRES personnel during their period of AT with SPAWAR. At the time of initial submission of an AT application, the reservist shall forward a copy of the AT application together with a current SF 450 and a current Officer Qualification Questionnaire (OQQ) to SPAWAR 09R. SPAWAR 09R shall review all paperwork for accuracy and completeness and forward copies to the gaining command reserve coordinator.

(2) Maintain the following files:

- (a) Officer Qualification Questionnaire (OQQ)
- (b) SELRES Resume.
- (c) Completed SF 450

(3) Provide guidance to the directorate/activity reserve coordinators as required.

c. The duties and responsibilities of directorate/activity reserve coordinators are:

(1) Serve as the single point of contact to receive and screen all requests for Annual Training (AT).

(2) Review SF 450 for possible conflicts of interest prior to assigning projects to SELRES.

(3) Coordinate readiness exercises to ensure maximum participation by SELRES.

(4) Ensure the timely preparation and submission of Officer fitness reports and PIMs when these members complete AT.

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(5) Ensure that all mobilization billets within their respective commands are properly identified, and justified in accordance with the Navy Manpower and Mobilization System.

(6) Coordinate all requests for special projects to be assigned to local units.

d. The duties and responsibilities of the reservist are:

(1) After coordination with the gaining command reserve coordinator and the designated unit AT coordinator, prepare his/her AT application and submit via the Naval Reserve chain of command.

(2) Forward a copy of the AT application, a current SF 450, and a current OQQ to SPAWAR 09R.

2. Procedures

a. AT at SPAWAR Headquarters. Reservists desiring AT at SPAWAR headquarters shall submit their application to their cognizant Naval Reserve Readiness Command or Reserve Center. A copy of the AT request shall be forwarded to SPAWAR 09R together with a current SF 450 and an updated Officer Qualification Questionnaire (OQQ). AT requests, OQQs, and SF 450s will be forwarded by SPAWAR 09R to the respective gaining command reserve coordinator for determination of any possible conflict of interest or the appearance thereof. The directorate/activity reserve coordinator will subsequently coordinate tasking, scheduling, and further assignment. Reporting instructions will be forwarded to the selected reservist concerned along with other information pertinent to AT at SPAWAR headquarters.

b. AT at SPAWAR Activities. Reservists desiring AT at a SPAWAR activities should submit their application to their cognizant Naval Reserve Readiness Command or Reserve Center. A copy of the AT request, OQQ, and SF 450 should be forwarded directly to the activity reserve coordinator. SPAWAR activities are authorized to approve or disapprove requests for AT for individuals and units under their cognizance. All requests and/or orders shall be reviewed by the SPAWAR activity reserve coordinator for potential conflict of interest. Applications and/or orders with any possible conflict of interest will be reevaluated by the reserve coordinator for assignment to a different project for the AT. SPAWAR activities may also limit the total number of reserve personnel assigned for AT during specific periods of time. The activity reserve coordinator will serve as the point of contact.

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c. Reporting Activity. SPAWARSYSCOM headquarters or the field activity to which the reservist reports for AT should select the project or tasks to be accomplished based upon the rank or rate of the reservist, previous active military experience, military and civilian training and experience, and the reservist's mobilization assignment. It is expected that the reservist will contribute, through on-the-job training, to ongoing tasks and missions, rather than spend two weeks in indoctrination-type sessions. The Naval Reserve presents a broad range of experience and background, and it is to the advantage of every command to utilize these highly motivated personnel to assist in accomplishment of tasks within their mobilization billets.

d. Active Duty Training (ADT) and Active Duty for Special Work (ADSW). Offices and activities which have a need for reservists to perform special tasks in addition to normal AT tasks should contact the SPAWAR Reserve Program Coordinator (SPAWAR 09R). Through notices published in the various reserve newsletters, personnel can be solicited to fill the needs of commands for specialized Naval Reserve talent. This type of duty is based on the availability of funding. Reference (a) refers. Procedures stipulated above apply.

e. Administrative Procedures Upon Reporting to SPAWARSYSCOM Headquarters

(1) Reservists will report, on the first day of training, to the Personnel Support Detachment (PSD), Crystal Mall, Building 3, Room 100, 1931 Jefferson Davis Highway, Arlington, Virginia, for administrative processing of original AT orders.

(2) Upon completion of order processing, the reservist shall report to the SPAWAR Reserve Program Coordinator (SPAWAR 09R), 5 Crystal Park (5CPK), Room 1121, 2451 Crystal Drive, Arlington, Virginia, prior to reporting to the office to which assigned for AT. For reservist without a NCR building pass, report first to the Visitor Control Office in Room 123 at 5CPK.

(3) When the initial reporting date is Saturday or Sunday, because of TAD travel departure before Monday, reservists will report to the SPAWAR Duty Office, 5CPK, Room 1135, (703) 602-8959, to check in.

(4) On the last day of AT, the reservist shall report to the PSD, Crystal Mall, Building 3, Room 100, 1931 Jefferson Davis Highway, Arlington, Virginia, for final processing of orders.

Enclosure (2)

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(5) The draft reserve officer fitness report/PIM should be prepared by the individual, military or civilian, who supervised the reservist and the final report signed by the officer authorized by reference (b) to sign such evaluation of the reservist's performance. It should include special qualifications attained, including achievement of NOBC/NEC. All officer fitness reports and PIMs for personnel performing AT with SPAWAR headquarters will be routed through SPAWAR 09R prior to final signature.

Enclosure (2)

Executive Branch Personnel

CONFIDENTIAL FINANCIAL

DISCLOSURE REPORT

Instructions for Completing SF 450

A. Who Must File

Your agency will inform you if the position in which you serve or will serve has been designated as requiring confidential financial disclosure. Agencies are required to designate positions at or below GS-15, O-6, or comparable pay rates, in which the nature of duties may involve a potential conflict of interest. Examples include contracting, procurement, administration of grants and licenses, regulating/auditing non-Federal entities, other activities having a substantial economic effect on non-Federal entities, or law enforcement. Additionally, all special Government employees (SGE's) (those appointed pursuant to 18 U.S.C. 202(a) to serve no more than 130 days in a period of 365 days) must file, unless exempted or subject to the public reporting system. Agencies may also require certain employees in positions above GS-15, O-6, or a comparable pay rate to file.

B. Reporting Periods

New entrant reports: The reporting period is the preceding twelve months from the date of filing.

Annual reports: The reporting period is the preceding twelve months ending September 30 (or any portion thereof not covered by a new entrant report). However, no report is required if you performed the duties of your position for less than 61 days during that twelve-month period.

C. When to File

New entrant reports: Reports are due within 30 days of assuming a position designated for filing (including reappointment as a special Government employee (SGE)), unless your agency requests the report earlier. No report is required if you left another (different) filing position within 30 days prior to assuming the new position.

Annual reports: Reports are due not later than October 31, unless extended by your agency.

D. Where to File

With ethics officials at the agency in which you serve or will serve, in accordance with their procedures.

E. General Instructions

1. Confidential filers must provide sufficient information about their outside interests and activities, as well as those of their spouse and dependent children, so that an informed judgment can be made by agency ethics officials as to compliance with applicable conflict of interest laws and standards of conduct regulations. Therefore, it is important that you carefully complete the attached form. This report is a safeguard for you as well as the Government. It provides a mechanism for determining actual or potential conflicts between your public responsibilities and your private interests and activities, and allows you and your agency to fashion appropriate protections against such conflicts.
2. This form consists of five parts, which require identification of certain specific financial interests and activities. No disclosure of amounts or values is required. You must complete each part (except as indicated for Part V) and sign the report. If you have no information to report in any part or do not meet the threshold values for reporting, check the "None" box. If you are a new entrant or special Government employee

(SGE), you are not required to complete Part V; in all other instances, a report is incomplete if any part is left blank.

3. The information to be disclosed on this form is required by regulation. You may include other information beyond these requirements that you wish to disclose for clarification. However, disclosure of any information does not authorize holdings, income, liabilities, affiliations, positions, gifts or reimbursements which are otherwise prohibited by law, Executive order, or regulation.
4. You can combine on one form the information applicable to yourself, your spouse, and dependent children which is required by Parts I, II, and V. (Parts III and IV require disclosures about yourself only.) You may, if you desire, distinguish any entry for a family member by preceding the entry with S if it is for a spouse or DC if it pertains to a dependent child. Joint assets may be indicated by J. Information about your spouse is not required in the case of marriage dissolution, permanent separation, or temporary separation with the intention of terminating the marriage or permanently separating.
5. In the case of references to trades or businesses which do not have publicly traded securities, you must provide sufficient information about these private entities to give the reviewers an adequate basis for conflict analysis. Thus, you must disclose the location and primary trade or business of private entities, as well as their separate financial interests and liabilities which are not solely incidental to the business. For instance, if your family swimming pool services corporation purchases an apartment house for investment in addition to its pool services business, you will have to disclose the apartment house investment, in addition to the family corporation.
6. In the case of a mutual fund, pension, IRA, or investment account, you must disclose information about portfolio holdings and sources of income, unless the entity is "an excepted investment fund." See definition below. In that case, identify it by name and

indicate "excepted investment fund" in the appropriate block; no further disclosure is required.

7. In the case of a trust, you must disclose information about its underlying assets and sources of income, unless it is an "excepted trust." See definition below. In that case, identify it by name and date of creation, and indicate "excepted trust" in the appropriate block; no further disclosure is required. (Additionally, you may, in rare cases, have an interest in a trust specifically certified by the Office of Government Ethics to be a qualified blind or diversified trust, pursuant to statute; for such qualified trusts, you will also be exempt from disclosures about underlying holdings.)

8. If you need assistance in completing this form, contact the ethics officials of the agency in which you serve or will serve.

F. Definition of Terms

o Dependent Child

The term "dependent child" means your son, daughter, stepson, or stepdaughter if such person is either:

- (1) unmarried, under age 21, and living in your household; or
- (2) a "dependent" of yours within the meaning of section 152 of the Internal Revenue Code of 1986, 26 U.S.C. 152.

o Excepted Investment Fund (EIF)

An "excepted investment fund" is a mutual fund, common trust fund of a bank, pension or deferred compensation plan, or any other investment fund, which is:

- (1) widely held;
- (2) either publicly traded (or available) **OR** widely diversified"; and
- (3) you neither exercise control over nor have the ability to exercise control over the financial interests held by the fund.

*A fund is widely diversified when it holds no more than 5% of the value of its portfolio in the securities of any one issuer (other than the U.S. Government) and no more than 20% in any particular economic or geographic sector.

o Excepted Trust (ET)

An "excepted trust" is one which:

- (1) was not created by you, your spouse, or dependent children; and
- (2) the holdings or sources of income of which you, your spouse, and dependent children have no past or present knowledge.

o Honoria

The term "honoria" means payments (direct or indirect) of money or anything of value to you or your spouse for an appearance, speech or article, excluding necessary travel expenses. Also included are payments to charities in lieu of honoraria.

o Personal Savings Account

The term "personal savings account" includes a certificate of deposit, a money market account, a savings account, an interest-bearing checking account, or any other form of deposit in a bank, savings and loan association, credit union or similar financial institution. Additionally, any money market mutual fund holding is treated as the equivalent of a personal savings account.

Public Burden Information

of the information on this report may be made: (1) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of a violation or potential violation of law or regulation; (2) to a court or Federal administrative proceeding in a court or in order to comply with a subpoena; (3) to a source when necessary to obtain information relevant to a conflict of interest investigation or decision; (4) to the National Archives and Records Administration or the General Services Administration in records management inspections; (5) to the Office of Management and Budget during legislative coordination on private relief legislation; and (6) in response to a request for discovery or for the appearance of a witness in a judicial or administrative proceeding, if the information is relevant to the subject matter. This confidential report will not be disclosed to any requesting person unless authorized by law.

Falsification of information or failure to file or report information required to be reported may subject you to disciplinary action by your employing agency or other appropriate authority. Knowing and willful falsification of information required to be reported may also subject you to criminal prosecution.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978 (5 U.S.C. App.), Executive Order 12674, and 5 CFR Part 2634, Subpart I, of the Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this form is for review by Government officials of your agency, to determine compliance with applicable Federal conflict of interest laws and regulations. Additional disclosures

ETHICS FORM

PARTS I - II

Executive Branch CONFIDENTIAL FINANCIAL DISCLOSURE REPORT

Employee's Name (Last, first, middle initial)		Position/Title	Grade	Date of Appointment	Page No.
Agency		Branch/Unit and Address	Work Phone	Check box if special Government employee (SGE)	
<i>I certify that the statements I have made on this form and all attached statements are true, complete, and correct to the best of my knowledge.</i>		Signature of Employee			
Date Received by Agency	On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (except as noted in "Comments" box below).	Signature of Supervisor/Other Intermediate Reviewer		Date	<input type="checkbox"/> Reporting Status: <input type="checkbox"/> New entrant <input type="checkbox"/> Annual
Signature of Agency's Final Reviewing Official and Title		Date	Comments of Reviewing Officials	Date	(Check box if continued on reverse)

(Use additional copies of this form as continuation pages, if necessary, to complete any part.)

Part I: Assets and Income

None

Identify for you, your spouse, and dependent children: 1) each asset held for investment or the production of income which had a fair market value exceeding \$1,000 (\$5,000 for personal savings accounts) at the close of the reporting period; and 2) each asset or source of income (other than U.S. Government salary or retirement, including the Thrift Savings Plan) which generated over \$200 in income during the reporting period (\$1,000 for your spouse's earned income, other than honoraria). This includes but is not limited to employers' stocks, bonds, tax shelters, personal savings accounts, realty, mutual funds, pensions, annuities, IRA assets, trust assets, commodity futures, trades and businesses, partnership interests, and honoraria. Exclude your personal residence, unless you rent it out, and any earned income of your dependent children. If the holding is an excepted trust (ET) or an excepted investment fund (EIF) (see instructions), indicate that in the designated column, and you need not disclose underlying holdings.

Part II: Liabilities

None

Report liabilities over \$10,000 owed to any one creditor at any time during the reporting period (over \$10,000 at the end of the period if revolving charge accounts) by you, your spouse, and dependent children. Exclude a mortgage on your personal residence unless it is rented out; loans secured by automobiles, household furniture or appliances; and liabilities owed to a spouse, dependent child, or parent, brother, sister or child of you or your spouse.

Creditors (Name and address)	Type of Liability (Mortgage, promissory note, etc.)
1	
2	
3	
4	

Executive Branch CONFIDENTIAL FINANCIAL DISCLOSURE REPORT

PART III - END

Employee's Name (Last, first, middle initial)	Agency

Part III: Outside Positions

None

Report any positions, whether or not compensated, which you held outside the U.S. Government during the reporting period. Positions include but are not limited to those of an employee, officer, director, trustee, general partner, proprietor, representative, or consultant of any corporation, firm, partnership, or other business enterprise or any non-profit organization or educational institution. Exclude positions with religious, social, fraternal, or political entities or those solely of an honorary nature. You need not report any positions of your spouse or dependent children.

Organization (Name and address)

Organization (Name and address)	Branch/Unit
1	
2	
3	
4	
5	

Part IV: Agreements and Arrangements

None

Report your agreements or arrangements for future employment, leaves of absence, continuation of payment by a former employer (including severance payments), or continuing participation in an employee benefit plan. You need not report agreements or arrangements of your spouse or dependent children.

Terms of Any Agreement or Arrangement

Terms of Any Agreement or Arrangement	Parties
1	
2	
3	
4	

Part V: Gifts and Travel Reimbursements

None

Do not complete this part if you are a new entrant or special Government employee (SGE).

Report the source and a brief description of gifts from one source totaling \$250 or more during the reporting period, and travel reimbursements from one source totaling \$250 or more during the reporting period, which are received by you, your spouse, and dependent children. Exclude anything valued at \$100 or less; anything from relatives or from the U.S. Government; anything given to your agency in connection with your official travel; and food, lodging, or entertainment received personal hospitality at the donor's residence, or premises.

Source	Description (For travel-related items, include itinerary and date)
1	
2	
3	
4	
5	
6	